

## COPY FROM FARENT

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720-CON2 402E-476112U5	09401,544 Herewith <u>10/082 747</u>
(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 Feb. 22, 2002	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date if Appropriate
DG	A1	4,968,603	11/06/90	Slamon et al.	435	6	
DG	A2	5,183,884	02/02/93	Kraus et al.	536	23.5	
DG	A3	5,367,060	11/22/94	Vandlen et al.	530	399	
	A4						
	A5						
	A6						
	A7						
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	A9						
	A10						

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
DG	B1	444,961 A1	9/4/91	Europe				
	B2	505,148	9/23/92	Europe				
	B3	599,274	6/1/94	Europe				
	B4	WO 92/18627	10/29/92	PCT				

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C1	Ayala et al., "Multiple Alleles," <i>Modern Genetics</i> , Benjamin/Cummings Pub. Co., Menlo Park, CA, 45-48 (1980).
	C2	Barbacci et al., "The structural basis for the specificity of epidermal growth factor and heregulin binding," <i>Journal of Biological Chemistry</i> (published erratum appears in <i>J. Biol. Chem.</i> Nov. 24, 1995; 270(47):28494) 270(16):9585-9589 (Apr. 21, 1995).
	C3	Bass, et al., "Hormone Phage: An Enrichment Method for Variant Proteins with Altered Binding Properties," <i>Proteins: Structure, Function, and Genetics</i> 8(4):309-314 (1990).

EXAMINER <i>Daniel J. Gennett</i>	DATE CONSIDERED <i>5/17/2005</i>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).	

FORM PTO-1449 (Modified)	ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT	14918-720 CON2 402E - 476112 US	09/101,544 Herewith
(Use several sheets if necessary)	10/082 747	
	APPLICANT Marcus D. Ballinger et al.	
	FILING DATE July 17, 1998 Feb. 22, 2002	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
DG	B5	WO 92/20798	11/26/92	PCT				
	B6	WO 93/22424	11/11/93	PCT				
	B7	WO 94/00140	1/6/94	PCT				
	B8	WO 94/04560	3/3/94	PCT				

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DS	C4	Brockes, "Assay and isolation of glial growth factor from the bovine pituitary," <i>Methods in Enzymology</i> 147:217-225 (1987).
	C5	Brockes et al., "Glial growth factor-like activity in Schwann Cell tumors," <i>Annals of Neurology</i> 20:3:317-322 (1986).
	C6	Brockes et al., "Purification and preliminary characterization of a glial growth factor from the bovine pituitary," <i>Journal of Biological Chemistry</i> 255(18):8374-8377 (1980).

EXAMINER	<i>Daniel C. Abbott</i>	DATE CONSIDERED	<i>5/17/2005</i>
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720 CON2 402E-47612US	09401,544 Herewith 10/082747
(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 Feb. 20, 2002	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
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DG	B9	WO 94/08007	4/14/94	PCT			
	B10	WO 94/26298	11/24/94	PCT			
	B11	WO 94/28133	12/8/94	PCT			
	B12	WO 95/32724	12/7/95	PCT			

OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)		
DS	C7	Burden et al., "Neuregulins and their receptors: a versatile signaling module in organogenesis and oncogenesis," <i>Neuron</i> 18(6):847-855 (June 1997).
	C8	Burgess et al., "Biosynthetic processing of neu differentiation factor. Glycosylation, trafficking, and regulated cleavage from the cell surface," <i>Journal of Biological Chemistry</i> 270(32):19188-19196 (1995).
	C9	Callard et al., <i>The Cytokine Factsbook</i> , Academic Press, London, p. 31 (1994).

EXAMINER	<i>James T. Gant</i>	DATE CONSIDERED	<i>5/12/2005</i>
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FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
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(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
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REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
DG	B13	WO 96/31599	10/10/96	PCT				
DG	B14	WO 96/36720	11/21/96	PCT				
	B15							
	B16							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

	C10	Carraway et al., "The erbB3 gene product is a receptor for heregulin," <i>Journal of Biological Chemistry</i> 269(19):14303-14306 (1994).
	C11	Carraway, et al., "Neuregulin-2, a new ligand of ErbB3/ErbB4-receptor tyrosine kinases," <i>Nature</i> 387:512-516 (1997).
	C12	Chang, et al., "Ligands for ErbB-family receptors encoded by a neuregulin-like gene," <i>Nature</i> 387:509-512 (1997).

EXAMINER  DATE CONSIDERED 3/17/2005  
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FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720 CON2 402E-176112 US	09/101,544 Herewith <u>10/082 747</u>
(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
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REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B17						
	B18						
	B19						
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## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C13	Chau, B. N. et al., "The EGF Receptor Binding of Recombinant Heregulin $\beta$ 1/EGF Hybrids is Blocked by Heregulin Residue Glutamate 195," <i>Biochemical &amp; Biophysical Research Communications</i> 229:882-886 (1996).
J	C14	Chu et al., "Regulation of the acetylcholine receptor & subunit gene by recombinant ARIA: an in vitro model for transsynaptic gene regulation," <i>Neuron</i> 14(2):329-339 (Feb. 1995).
	C15	Corfas & Fischbach, "The number of Na <sup>+</sup> channels in cultured chick muscle is increased by ARIA, an in vitro model for acetylcholine receptor-inducing activity," <i>J. Neuroscience</i> 13(5):2118-2125 (1993).

EXAMINER <i>Danay C. Lemke</i>	DATE CONSIDERED <i>5/07/2005</i>
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REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS							
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
B21							
B22							
B23							
B24							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C16	Cunningham et al., "High Resolution Epitope Mapping of hGH-Receptor Interactions by Alanine-Scanning Mutagenesis," <i>Science</i> 244:1081-1085 (June 1989).
DS	C17	Cunningham et al., "Production of an Atrial Natriuretic Peptide Variant that is Specific for Type A Receptor," <i>EMBO Journal</i> 13(11):2508-2515 (1994).
DR	C18	Cwirla et al., "Peptides on phage: a vast library of peptides for identifying ligands," <i>Proc. Natl. Acad. Sci. USA</i> 87(16):6378-6382 (1990).

EXAMINER Daniel J. Lenahan DATE CONSIDERED 5/17/2005

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	14918-720 CON2 403E-4761,245	09/101,544 Herewith  10/082747
	APPLICANT Marcus D. Ballinger et al.	
	FILING DATE July 17, 1998 Feb 22, 2002	GROUP ART UNIT 1646

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
						yes	no
B25							
B26							
B27							
B28							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C19	Danilenko et al., "Neu differentiation factor (NDF) accelerates epidermal migration and differentiation in excisional wounds," <i>FASEB</i> 8:4-5: abstract no. 3101, p. A535 (1994).
	C20	Falls et al., "ARIA, a Protein That Stimulates Acetylcholine Receptor Synthesis, is a Member of the Neu Ligand Family," <i>Cell</i> 72:801-815 (1993).
	C21	Friess et al., "Enhanced erbB-3 Expression in Human Pancreatic Cancer Correlates With Tumor Progression," <i>Clinical Cancer Research</i> 1:1413-1420 (1995).

EXAMINER	<i>Daniel M. Ballinger</i>	DATE CONSIDERED	<i>5/12/2005</i>
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(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al..	
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REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B29						
	B30						
	B31						
	B32						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C22	Gorman et al., "Transient Production of Proteins Using an Adenovirus Transformed Cell Line," <i>DNA Prot. Eng. Tech.</i> 2(1):3-10 (1990).
	C23	Ho, W., et al., "Sensory and Motor Neuron-derived Factor," <i>Journal of Biological Chemistry</i> 270(24):14523-14532 (1995).
	C24	Holmes et al., "Identification of heregulin, a specific activator of p185 <sup>erbB2</sup> " <i>Science</i> 256:1205-1210 (1992).

EXAMINER *Daniel R. Linsell* DATE CONSIDERED *5/12/2013*  
 EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

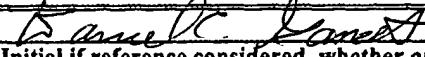
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	14918-720 CON2 402E - 476112 US	09/101,544 Herewith  10/082747
	APPLICANT Marcus D. Ballinger et al.	
	FILING DATE July 17, 1998	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B33						
	B34						
	B35						
	B36						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

	C25	Jacobsen et al., "High-Resolution Solution Structure of the EGF-like Domain of Heregulin-a" <i>Biochemistry</i> 35(11):3402-3417 (1996).
	C26	King et al., "Ligand-independent tyrosine phosphorylation of EGF receptor and the erbB-2/neu proto-oncogene product is induced by hyperosmotic shock" <i>Oncogene</i> 4(1):13-18 (1989).
	C27	Kokai et al., "Synergistic Interaction of p185c-neu and the EGF Receptor Leads to Transformation of Rodent Fibroblasts," <i>Cell</i> 58:287-292 (1989).

EXAMINER  DATE CONSIDERED   
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FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT(S)' INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

14918-720 CON2  
402E-476112 US

SERIAL NO.

09/101,544  
Herewith

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APPLICANT

Marcus D. Ballinger et al.

FILING DATE

July 17, 1998

GROUP ART UNIT

1646

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A91						
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B37						
	B38						
	B39						
	B40						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C28	Kraus et al., "Demonstration of ligand-dependent signaling by the erbB-3 tyrosine kinase and its constitutive activation in human breast tumor cells," <i>Proc. Natl. Acad. Sci.</i> 90:2900-2904 (1993).
	C29	Kraus et al., "Isolation and characterization of ERBB3, a third member of the ERBB/epidermal growth factor receptor family: Evidence for overexpression in a subset of human mammary tumors," <i>Proc. Natl. Acad. Sci. USA</i> 86:9193-9197 (1989).
	C30	Kunkel et al., "Rapid and Efficient Site-Specific Mutagenesis Without Phenotypic Selection," <i>Methods in Enzymology</i> 154:367-382 (1987).

EXAMINER

*Daniel L. Jones* DATE CONSIDERED *6/17/2003*

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FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
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(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 Feb. 22, 2012	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
	B41							
	B42							
	B43							
	B44							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

D6	C31	Lee et al., "Assignment of Heregulin (HGL) to Human Chromosome 8p22-p11 by PCR Analysis of Somatic Cell Hybrid DNA," <i>Genomics</i> 16:790-791 (1993).
	C32	Lemke & Brockes, "Identification and purification of glial growth factor," <i>J. Neurosci.</i> 4(1):75-83 (1984).
	C33	Lemoine et al., "The erbB-3 gene in human pancreatic cancer," <i>J. Pathol.</i> 168:269-273 (1992).

EXAMINER *Daniel J. Lomed* DATE CONSIDERED *5/17/2015*  
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B45						
	B46						
	B47						
	B48						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C34	Lemoine et al., "Expression of the ERBB3 gene product in breast cancer," <i>Br. J. Cancer</i> 66:1116-1121 (1992).
J	C35	Levi et al., "The Functional Characteristics of Schwann Cells Cultured from Human Peripheral Nerve after Transplantation into a Gap within the Rat Sciatic Nerve," <i>J. Neuroscience</i> 14(3):1309-1319 (1994).
	C36	Lewis et al., "Growth Regulation of Human Breast and Ovarian Tumor Cells by Heregulin: Evidence for the Requirement of ErbB2 as a Critical Component in Mediating Heregulin Responsiveness," <i>Cancer Research</i> 56:1457-1465 (1996).

EXAMINER *Daniel P. Glanert* DATE CONSIDERED *5/17/2003*

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	<b>APPLICANT</b> Marcus D. Ballinger et al. <b>FILING DATE</b> <i>July 17, 1998 Rb 22, 2002</i>	
	<b>GROUP ART UNIT</b> 1646	

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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
	B49							
	B50							
	B51							
	B52							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

<i>DC</i>	C37	Li et al., "Identification of Gas6 as a Growth Factor for Human Schwann Cells," <i>Journal of Neuroscience</i> 16(6):2012-2019 (1996).
<i>J</i>	C38	Lowman et al., "Selecting High-Affinity Binding Proteins by Monovalent Phage Display," <i>Biochemistry</i> 30:10832-10838 (1991).
<i>J</i>	C39	Lu et al., "Post-translational processing of Membrane-associated neu Differentiation Factor Proisoforms Expressed in Mammalian Cells," <i>Journal of Biological Chemistry</i> 270(9):4775-4783 (1995).

EXAMINER *Dawn C. Jones* DATE CONSIDERED *5/17/2002*  
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		FILING DATE July 17, 1998 Feb 20, 2002	GROUP ART UNIT 164

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A131						
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
	B53							
	B54							
	B55							
	B56							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C40	Marchionni et al., "Glial growth factors are alternatively spliced erbB2 ligands expressed in the nervous system," <i>Nature</i> 362:312-318 (1993).
DJ	C41	Meyer & Birchmeier, "Distinct isoforms of neuregulin are expressed in mesenchymal and neuronal cells during mouse development," <i>Proc. Natl. Acad. Sci.</i> 91:1064-1068 (1994).
DJ	C42	Nagata et al., "Solution structure of the epidermal growth factor-like domain of heregulin- $\alpha$ , a ligand for p180 <sup>erbB-4</sup> ," <i>EMBO J.</i> 13(15):3517-3523 (1994).

EXAMINER *Dowell, Gandy* DATE CONSIDERED *5/19/2002*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720 CON2 402E-47611245	09/101,544 Herewith <i>10/082747</i>
(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE <i>July 17, 1998 Feb. 22, 2002</i>	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B57						
	B58						
	B59						
	B60						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

<i>DG</i>	C43	Parmley et al., "Antibody-selectable filamentous fd phage vectors: affinity purification of target genes," <i>Gene</i> 73:305-318 (1988).
	C44	Peles et al., "Cell-type specific interaction of Neu differentiation factor (NDF/hereregulin) with Neu/HER-2 suggests complex ligand-receptor relationships," <i>EMBO Journal</i> 12(3):961-971 (1993).
	C45	Peles et al., "Isolation of the Neu/HER-2 Stimulatory Ligand: a 44 Kd Glycoprotein That Induces Differentiation of Mammary Tumor Cells," <i>Cell</i> 69(1):205-216 (1992).

EXAMINER *Daniel A. Lonsdale* DATE CONSIDERED *5/17/2005*

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FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)		14918-720 CON2 402 E - 476112 US	09/101,544 Herewith 10/082747
		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
							yes no
	B61						
	B62						
	B63						
	B64						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

D	C46	Pinkas-Kramarski et al., "Brain neurons and glial cells express Neu differentiation factor/hergulin: A survival factor for astrocytes," <i>Proc. Natl. Acad. Sci. USA</i> 91:9387-9391 (1994).
D	C47	Plowman et al., "Hergulin induces tyrosine phosphorylation of HER4/p180 <sup>erbB4</sup> ," <i>Nature</i> (Letters to Nature) 366:473-475 (Dec. 2, 1993).
D	C48	Plowman et al., "Ligand-specific activation of HER4/p180 <sup>erbB4</sup> , a fourth member of the epidermal growth factor receptor family," <i>Proc. Natl. Acad. Sci. USA</i> 90:1746-1750 (1993).

EXAMINER *Daniel F. Donald* DATE CONSIDERED *5/7/2005*  
 EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

FORM PTO-1449 (Modified)	ATTY. DOCKET NO.	SERIAL NO.
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT</b>	14918-720 CON2 402E-476112 US	09/101,544 Herewith 10/082 747
(Use several sheets if necessary)	APPLICANT Marcus D. Ballinger et al.	
	FILING DATE July 17, 1998 Feb. 22, 2001	GROUP ART UNIT 1646.

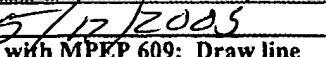
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## FOREIGN PATENT DOCUMENTS

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							yes no
B65							
B66							
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	C49	Poller et al., "Production and characterization of a polyclonal antibody to the c-erbB-3 protein: examination of c-erbB-3 protein expression in adenocarcinomas," <i>J. Pathol.</i> 168(3):275-280 (1992).
	C50	Puddicombe et al., "The Significance of Valine 33 as a Ligand-specific Epitope of Transforming Growth Factor $\alpha$ ," <i>Journal of Biological Chemistry</i> 271(26):15367-15372 (1996).
	C51	Rajkumar et al., "Expression of the c-erbB-3 protein in gastrointestinal tract tumors determined by monoclonal antibody RTJ1," Published erratum appears in <i>J. Pathol.</i> 171(2):154 (1993).

EXAMINER 	DATE CONSIDERED 
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).	

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
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		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 / Feb. 20, 2002	GROUP ART UNIT 1646.

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
	B69						yes      no
	B70						
	B71						
	B72						

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DG	C52	Sadick et al., "Analysis of Heregulin-Induced ErbB2 Phosphorylation with a High-Throughput Kinase Receptor Activation Enzyme-Linked Immunosorbant Assay," <i>Analytical Biochemistry</i> 235:207-214 (1996).
	CS3	Sambrook et al., "Small-scale Preparations of Single-stranded Bacteriophage M13 DNA," <i>Molecular Cloning: A Laboratory Manual</i> , 2nd ed., New York: Cold Spring Harbor Laboratory Press, 1:4.29-4.30 (1989).
	C54	Sanger et al., "DNA Sequencing with Chain-terminating Inhibitors," <i>Proc. Natl. Acad. Sci. USA</i> 74(12):5463-5467 (1977).

EXAMINER *Daniel D. Ballinger* DATE CONSIDERED *5/17/2003*  
 EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT(S) INFORMATION DISCLOSURE  
STATEMENT

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APPLICANT  
Marcus D. Ballinger et al.FILING DATE  
July 17, 1998 Feb. 29, 2000GROUP ART UNIT  
1646

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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							yes no
	B77						
	B78						
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## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C58	Slamon et al., "Human Breast Cancer: Correlation of Relapse and Survival with Amplification of the HER-2/neu Oncogene," <i>Science</i> 235:177-182 (1987).
	C59	Slamon et al., "Studies of the HER-2/neu Proto-oncogene in Human Breast and Ovarian Cancer," <i>Science</i> 244:707-712 (1989).
	C60	Sliwkowski et al., "Coexpression of erbB2 and erbB3 Proteins Reconstitutes a High Affinity Receptor for Heregulin," <i>Journal of Biological Chemistry</i> 269(20):14661-14665 (1994).

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

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<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)		14918-720 CON2 462E-47611245	09/101,544 Herewith 10/082747
		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 Feb. 22, 2002	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
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## FOREIGN PATENT DOCUMENTS

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							yes	no
	B73							
	B74							
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## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DG	C55	Sanidas et al., "Expression of the c-erbB-3 gene product in gastric cancer," <i>Int. J. Cancer</i> 54:935-940 (1993).
	C56	Scott et al., "Searching for Peptide Ligands with an Epitope Library," <i>Science</i> 249:386-390 (1990).
	C57	Sklar et al., "A Novel Growth Factor for Muscle-rhGGF2," <i>J. Cell Biochem.</i> (abstract no.-W462) p. 540 (1994).

EXAMINER <i>David C. Strodt</i>	DATE CONSIDERED <i>5/17/2002</i>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).	

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720 CON2 403E-476112 US	097101,544 Herewith
(Use several sheets if necessary)		APPLICANT Marcus D. Ballinger et al.	
		FILING DATE July 17, 1998 Feb. 22, 2001	GROUP ART UNIT 1646

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS				
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FOREIGN PATENT DOCUMENTS						
EXAMR INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
						yes no
	B81					
	B82					
	B83					
	B84					

OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)						
	C61	Smith, "Filamentous Fusion Phage: Novel Expression Vectors That Display Cloned Antigens on the Virion Surface," <i>Science</i> 228 (4705):1315-1317 (1985).				
	C62	Souriau et al., "A simple luciferase assay for signal transduction activity detection of epidermal growth factor displayed on phage," <i>Nucleic Acids Research</i> 25(8):1585-1590 (1997).				
	C63	Stern et al., "EGF-stimulated tyrosine phosphorylation of p185 <sup>new</sup> : a potential model for receptor interactions," <i>EMBO Journal</i> 7(4):995-1001 (1988).				

EXAMINER	DATE CONSIDERED
	5/17/2001
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).	

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**LIST OF PATENTS AND PUBLICATIONS FOR  
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STATEMENT**

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ATTY. DOCKET NO.

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APPLICANT  
Marcus D. Ballinger et al.FILING DATE  
July 17, 1998 Feb 22, 2002GROUP ART UNIT  
1646

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A211						
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN
	B85						yes no
	B86						
	B87						
	B88						

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

	C64	Tzahar, E., et al., "Bivalence of EGF-like ligands drives the ErbB signalling network," <i>EMBO Journal</i> 16(16):4938-4950 (1997).
	C65	Wada et al., "Intermolecular Association of the p185 <sup> neu</sup> Protein and EGF Receptor Modulates EGF Receptor Function," <i>Cell</i> 61:1339-1347 (1990).
	C66	Wen et al., "Neu Differentiation Factor: A Transmembrane Glycoprotein Containing an EGF Domain and an Immunoglobulin Homology Unit," <i>Cell</i> 69(3):559-572 (1992).

EXAMINER

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5/17/2005

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(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])

PAGE 22 of 23

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT		14918-720 CON2 402E-476112 US	09/101,544 Herewith
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## FOREIGN PATENT DOCUMENTS

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							yes	no
	B89							
	B90							
	B91							
	B92							

## OTHER ART (Include Author, Title, Date, Pertinent Pages, etc.)

DJ	C67	Wen et al., "Structural and Functional Aspects of the Multiplicity of Neu Differentiation Factors," <i>Molecular &amp; Cellular Biology</i> 14(3):1909-1919 (1994).
J	C68	Zhang et al., "Neuregulin-3 (NRG3): A novel neural tissue-enriched protein that binds and activates ErbB4," <i>Proc. Natl. Acad. Sci. USA</i> 94:9562-9567 (1997).
J	C69	Zrihan-Licht et al., "Association of Csk-homologous Kinase (CHK) (formerly MATK) with HER-2/ErbB-2 in Breast Cancer Cells," <i>Journal of Biological Chemistry</i> 272(3):1856-1863 (1997).

EXAMINER Donald C. Gandy DATE CONSIDERED 5/17/02  
 EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).